

**JTI Workgroup Draft****Element Performance Inspection (EPI) Data Collection Tool  
1.3.6 AD Management (AW)****ELEMENT SUMMARY INFORMATION****Purpose of This Element** (Certificate Holder's responsibility):

- To provide policy, procedures, instructions and/or information in the manual which allows personnel concerned with the A.D. Management process to perform their duties and responsibilities to a high degree of safety.

**Objective** (FAA oversight responsibility):

- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the AD Management process.
- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the AD Management process.

**Specific Instructions:**

- Intentionally left blank.

**Related EPI(s):**

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)

**SUPPLEMENTAL INFORMATION****Specific Regulatory Requirement(s) (SRRs):**

- SRRs:
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.380(a)(2)(vi)
  - 121.380(c)(3)
  - 121.380(d)
  - 39.15

39.17  
39.19  
39.21  
39.23  
39.27  
39.3  
91.403(a)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:  
39.11  
39.21  
39.23  
39.7
- FAA Policy/Guidance:  
FAA Order 8300.10, Volume 2, Chapter 71  
HBAW 98-20  
AC 39-7C

**EPI SECTION 1 – PERFORMANCE OBSERVABLES**

**Objective:** (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the AD Management.

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review information listed in the Supplemental Information section of this data collection tool.
- 2 Review the policies, procedures, instructions and information for the AD Management process contained in the Certificate Holder's manual.
- 3 Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
- 4 Observe the AD Management process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
- 5 Discuss the AD Management process with the personnel (other than management) that perform the duties and responsibilities required by the process.

**Questions**

To meet this objective, the inspector must answer the following questions:

1. Were the following Performance Measures met:

<p>1.1 Did the Certificate Holder's records indicate that the aircraft, aircraft engines, propeller, and/or appliances were in compliance with applicable Airworthiness Directives (AD)?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check at the records repository, that the actions specified in an Airworthiness Directive were accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.11</li> <li>2. Check at the records repository, that conditions and limitations specified in an Airworthiness Directive were accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.11</li> <li>3. Check at the records repository, that inspections specified in an Airworthiness Directive were accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.11</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.2 Did a visual inspection verify the observed aircraft, aircraft engines, propeller, and/or appliances were in compliance with applicable Airworthiness Directives (AD)?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the records repository, that the current status of an Airworthiness Directive record includes identification of a particular airframe, engine, propeller, appliance or component, in accordance with the certificate holders design <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(a)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.3 Were the observed actions performed as specified in the Airworthiness Directive?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check at the maintenance facility, that the actions specified in an Airworthiness Directive are accomplished in accordance with the certificate holder's design. <i>Sources: 121.135(a)(1); 39.11</i></li> <li>2. Check, at the records repository, that, if an Airworthiness Directive incorporates by reference a manufacturer's service document, that the requirements of the Airworthiness Directive were followed, even if there is a conflict between the service document and the Airworthiness Directive <i>Sources: 121.135(a)(1); 39.27</i></li> <li>3. Check at the maintenance facility that the conditions and limitations specified in an Airworthiness Directive, are accomplished in accordance with the certificate holder's design. <i>Sources: 121.135(a)(1); 39.11</i></li> <li>4. Check at the maintenance facility that the inspections specified in an Airworthiness Directive, are accomplished in accordance with the certificate holder's design. <i>Sources: 121.135(a)(1); 39.11</i></li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.4 If an aircraft, aircraft engine, propeller, and/or appliance was changed, in a way that affected the ability to accomplish the actions required by an AD, did the Certificate Holder obtain an approved alternate method of compliance?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check at the records repository, that a request for approval from the FAA for an alternate method of compliance (AMOC) to an Airworthiness Directive provided an acceptable level of safety in accordance with the certificate holders design <i>Sources: 121.135(a)(1); 39.19</i></li> <li>2. Check, at the records repository, that a request for approval from the FAA for an alternate method of compliance (AMOC) to an Airworthiness Directive was approved by the manager of the office identified in the Airworthiness Directive <i>Sources: 121.135(a)(1); 39.19</i></li> <li>3. Check at the records repository, that a request for approval from the FAA for an alternate means of compliance (AMOC) for any product in which a change effected the certificate holders ability to accomplish the actions required by an Airworthiness Directive, was prepared in accordance with the certificate holder's design. <i>Sources: 121.135(a)(1); 39.17; 39.19</i></li> <li>4. Check at the records repository, that a request for approval from the FAA for an alternate means of compliance (AMOC) to an Airworthiness Directive included specific actions proposed by the certificate holder to address the</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<p>unsafe condition.  <i>Sources:</i> 121.135(a)(1); 39.17; 39.19</p>	
<p>1.5 If an alternate method of compliance was granted, was it done with the Principal Inspector's full knowledge?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the records repository, that the PMI was notified when a TCH–DER (Type Certificate Holder/Designated Engineering Representative) was used to obtain AMOC approval in accordance with the certificate holder's design.  <i>Sources:</i> HBAW 98–20 paragraph 4</li> <li>2. Check at the Certificate Holding District Office, that the PMI was notified when a TCH–DER (Type Certificate Holder/Designated Engineering Representative) was used to obtain AMOC approval in accordance with the certificate holder's design.  <i>Sources:</i> HBAW 98–20 paragraph 4</li> <li>3. Check at the records repository, that a request for approval from the FAA for an alternate method of compliance (AMOC) to an Airworthiness Directive was submitted to the assigned Principal Inspector for concurrence in accordance with the certificate holder's design.  <i>Sources:</i> 121.135(a)(1); 39.19</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain  <input type="checkbox"/> Not Applicable</p>
<p>1.6 Did the Certificate Holder obtain ACO approval for change in compliance time, if the aircraft is operated differently than AD limitation requirements?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check at the records repository, that a request for approval from the FAA for a change of compliance time to an Airworthiness Directive provided an acceptable level of safety in accordance with the certificate holder's design.  <i>Sources:</i> 121.135(a)(1); 39.19</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain  <input type="checkbox"/> Not Applicable</p>
<p>1.7 Were the Certificate Holder's AD accomplishment records accurate?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check at the records repository, that the recording requirements for checks performed by pilots as permitted by Airworthiness Directives were accomplished in accordance with the certificate holder's design.  <i>Sources:</i> AC 39–7C paragraph 13f</li> <li>2. Check at the records repository, that Airworthiness Directives records contain a current status of applicable Airworthiness Directives, the date and methods of compliance in accordance with the certificate holder's design.  <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> <li>3. Check at the records repository, that Airworthiness Directive records contain a current status of applicable Airworthiness Directives including, if the Airworthiness Directive involves recurrent action, the date and time when the next action is required in accordance with the certificate holder's design.  <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

<ol style="list-style-type: none"> <li>4. Check at the maintenance planning center, that Airworthiness Directives were accomplished as scheduled in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> <li>5. Check at the maintenance planning center, that Airworthiness Directives that require recurring action, are scheduled in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> <li>6. Check at the records repository, that products with Airworthiness Directives requiring recurring action were accomplished within the prescribed time requirements in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> <li>7. Check at the records repository, that products with Airworthiness Directives requiring recurring action, that were granted approval for change in compliance time, were accomplished within the prescribed time requirements, in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</li> <li>8. Check at the records repository, that Airworthiness Directive records are kept (using the system specified in the manual required in FAR 121.369) and retained, until the work is repeated or superseded by other work or for one year after the work is performed. that show that all requirements for the issuance of an airworthiness release under Sec. 121.709 have been met. <i>Sources:</i> 121.135(a)(1); 121.380(a)(1); 121.380(c)(1)</li> <li>9. Check at the records repository, that Airworthiness Directive records containing current status of applicable airworthiness directives are retained in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3)</li> <li>10. Check at the records repository, that Airworthiness Directive records containing current status of applicable airworthiness directives are transferred with the aircraft when sold accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3)</li> </ol>	
<p>1.8 Does the Certificate Holder receive Emergency/Telegraphic AD's that affect an aircraft type in its fleet?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check, that Operations Specifications paragraph A047 has been maintained in accordance with the certificate holder's design <i>Sources:</i> 121.135(a)(1) Op Spec A047 paragraph c</li> <li>2. Check, at the air carrier, through interview, that information contained in paragraph b. of operations specifications A047 is current and accurate <i>Sources:</i> 121.135(a)(1) Op Spec A047 paragraph c</li> <li>3. Check, at the records repository, that receipt of Telegraphic/emergency Airworthiness Directives was confirmed by sending a</li> </ol>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

<p>e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov in accordance with the certificate holders design  <i>Sources:</i> 121.135(a)(1)          Op Spec A047 paragraph d(1)</p> <p>4. Check, at the records repository, that e-mail message sent to 9-AMC-emergency-ad@mmacmail.jccbi.gov confirming receipt of Telegraphic/ emergency Airworthiness Directives included the name of the operator in accordance with the certificate holders design  <i>Sources:</i> 121.135(a)(1)          Op Spec A047 paragraph d(1) Op Spec A047 paragraph d(2)</p>	
<p>1.9 Were AD requirements, performed by a contractor, properly accomplished?</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain  <input type="checkbox"/> Not Applicable</p>
<p>2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the AD Management process followed?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check, at the records repository, that the current status of an Airworthiness Directive record includes the Airworthiness Directive number (and/or regulatory amendment number), in accordance with the certificate holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(b)</p> <p>2. Check, at the records repository, that the current status of an Airworthiness Directive record includes the date, and the time-in-service expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.), when the required action was accomplished, in accordance with the certificate holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(c)</p> <p>3. Check, at the records repository, that the current status of an Airworthiness Directive record includes, if the requirement is recurring, the time-in-service when the next action is due expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.) in accordance with the certificate holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(d)</p> <p>4. Check, at the records repository, that the current status of an Airworthiness Directive record includes a concise description of the action taken to comply with the requirements of the airworthiness directive (method of compliance), in accordance with the certificate holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(e)</p> <p>5. Check, at the records repository, that the current status of an Airworthiness Directive record includes, if the airworthiness directive or its referenced manufacturer's service bulletin permits the use of more than one method of compliance, a reference to the specific method of compliance used, in accordance with the certificate</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

<p>holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(e)</p> <p>6. Check, at the records repository, that the current status of an Airworthiness Directive record includes, if the operator uses an alternate method of compliance to comply with an airworthiness directive, a description of this alternate method of compliance and a copy of the FAA approval, in accordance with the certificate holder's design  <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(e)</p>	
<p>3 Were the AD Management process controls followed?</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>
<p>4 Did the records for the AD Management process comply with the instructions provided in the Certificate Holder's manual?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check, at the records repository, that e-mail message sent to 9-AMC-emergency-ad@mmacmail.jccbi.gov confirming receipt of Telegraphic/ emergency Airworthiness Directives included the name of person sending the reply in accordance with the certificate holders design  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(1) Op Spec A047 paragraph d(2)</p> <p>2. Check, at the records repository, that e-mail message sent to 9-AMC-emergency-ad@mmacmail.jccbi.gov confirming receipt of Telegraphic/ emergency Airworthiness Directives included the operator four-letter designator in accordance with the certificate holders design  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(1) Op Spec A047 paragraph d(2)</p> <p>3. Check, at the records repository, that e-mail message sent to 9-AMC-emergency-ad@mmacmail.jccbi.gov confirming receipt of Telegraphic/ emergency Airworthiness Directives included the Airworthiness Directive number in accordance with the certificate holders design  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(1) Op Spec A047 paragraph d(2)</p> <p>4. Check, at the records repository, that e-mail message sent to 9-AMC-emergency-ad@mmacmail.jccbi.gov confirming receipt of Telegraphic/ emergency Airworthiness Directives included the statement: "This message is to confirm receipt of the Emergency Airworthiness Directive referenced above." in accordance</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>



<p>with the certificate holders design  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(1) Op Spec A047 paragraph d(2)</p> <p>5. Check, at the records repository that, even if the operator opts to access the web site and print a copy of the Telegraphic/ emergency Airworthiness Directive, that it sent written e-mail confirmation for receipt of the Airworthiness Directive to 9-AMC-emergency-ad@mmacmail.jccbi.gov, in accordance with its design  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(2) Op Spec A047 paragraph d(4)</p> <p>6. Check, at the records repository, that return receipt (confirmation report) was FAXed to (405) 954-4104 only in the event e-mail is not available, in accordance with the certificate holders design.  <i>Sources:</i> 121.135(a)(1)  Op Spec A047 paragraph d(3) Op Spec A047 paragraph d(4)</p>	
<p>5 Were the process measurements for the AD Management process effective in identifying problems or potential problems and providing corrective action for them?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>6 Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related with this element?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>EPI SECTION 1 – PERFORMANCE OBSERVABLES</b> <b>–Drop Down Menu</b>	
1. Personnel.	
2. Tools and Equipment.	
3. Technical Data.	
4. Procedures, policies or instructions or information.	
5. Materials.	
6. Facilities.	
7. Controls.	
8. Process Measures.	
9. Interfaces.	
10. Desired Outcome.	
11. Other.	

**EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES**

**Objective:** To determine if the person identified by the Certificate Holder having responsibility and/or authority for the AD Management is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person that has overall responsibility for the AD Management process.

2 Identify the person that has overall authority for the AD Management process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities for those who manage the AD Management process documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the AD Management process with the management personnel identified in Task 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 & 2.

**Questions**

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attribute addressed for the AD Management process:

2.1 Is there a clearly identified person who is responsible for the quality of the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the AD Management process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.6 Does the person with authority to establish and modify the AD Management meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<b>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES –Drop Down Menu</b>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	